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Atty. Docket No.: 5538/1020 PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Moss, et al.
Serial No.: 09/753,755
Filed: January 3, 2001
Entitled: "Automated Trading System"

Examiner:
Group Art Unit

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8a

I hereby certify that this correspondence (and any paper or fee referred to as being enclosed) is being deposited with the United States Post Office as First Class Mail on the date indicated below in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231.

Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

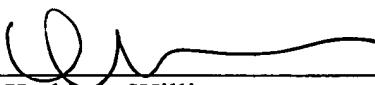
Enclosed for filing in the above-identified patent application, please find the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449
3. Copies of Cited References; and
5. Return Post Card.

The Commissioner for Patents is hereby authorized to charge any additional fees or credit any overpayment in the total fees to Deposit Account No. 16-0085, Reference No. 5538/1020. A duplicate of this transmittal letter is enclosed for this purpose.

Respectfully submitted,

Date: March 21, 2001


Name: Kathleen Williams
Registration No.: 34,380
Palmer & Dodge LLP
One Beacon Street
Boston, MA 02108
Tel: 617-573-0100



Atty. Docket No.: 5538/1020

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

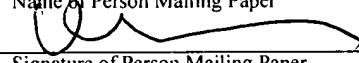
Application of: Moss et al
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Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Dear Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56, Applicant submits this Information Disclosure Statement pursuant to 37 CFR §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to CFR § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

Applicant does not intend to represent that any of the documents submitted herein are material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicant respectfully requests that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,

Date: 3/21/01



Name: Kathleen M. Williams Ph.D.
Registration No.: 34, 380
Palmer & Dodge LLP
One Beacon Street
Boston, MA 02108
Tel: 617-573-0100



Date of Deposit: March 21, 2001

USPTO Form 1449 Patent and Trademark Office			Department of Commerce		Attorney Docket No. 5538/1020	Serial No. 09/753,755		
INFORMATION DISCLOSURE STATEMENT			Applicant(s): Moss et al.					
			Filing Date: 1/3/01			Group:		
U.S. PATENT DOCUMENTS								
Examiner Initial		Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)	
		5,758,328	5/26/98	Giovannoli			2/22/96	
		5,375,055	12/20/94	Togher, et al			2/3/92	
		5,077,665	12/31/91	Silverman, et al			5/25/89	
		3,573,747	4/6/71	Adams, et al			2/24/69	
FOREIGN PATENT DOCUMENTS								
Examiner Initial		Document No.	Date	Country	Class	Subclass	Translation	
							YES	NO
		WO 97/45802	12/497	WO				X
		WO 97/43727	11/20/97	WO				X
		WO 96/05563	2/22/96	WO				X
		WO 93/15467	8/5/93	WO				X
		EP0407026	1/9/91	Europe				X
		EP 0399850	11/28/90	Europe				X
		GB 2161003	1/2/86	United Kingdom				X
OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)								
EXAMINER						DATE CONSIDERED		
<small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.</small>								
<small>**Copies of references not provided at the time of this submission.</small>								